



# ***Residential Substance Abuse Treatment for State Prisoners***

***FY 2001  
Program Guidance  
and Application Kit***

**U.S. Department of Justice**  
**Office of Justice Programs**  
810 Seventh Street, NW  
Washington, DC 20531

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For grant and funding information, contact:  
**Department of Justice Response Center:**  
(800) 421-6770

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**Office of Justice Programs**  
**World Wide Web Homepage:**  
*<http://www.ojp.usdoj.gov>*



**U.S. Department of Justice**

**Office of Justice Programs**

*Corrections Program Office*

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*Washington, D.C. 20531*

Dear Colleague:

I am pleased to provide you with the Program Guidance and Application Kit for the FY 2001 Residential Substance Abuse Treatment for State Prisoners (RSAT) Grant Program. This year, the appropriation for the RSAT Program is \$61.4 million.

In FY 2001, the Office of Justice Programs (OJP) will continue to receive and process applications through the automated **Grants Management System (GMS)**. We have been continuously upgrading and revising the GMS system to make it more user-friendly and efficient. We appreciated your cooperation during last year's start-up period, and we look forward to continuing to serve you better with expedited receipt, review, and processing of your request for funding. **Only applications received through the GMS system will be considered eligible for funding.**

Eligibility requirements and application procedures remain unchanged this year.

We at the Corrections Program Office look forward to continuing to work with you to implement the RSAT Program.

Sincerely,

Larry R. Meachum  
Director

## **Quick-Start Guide to Using the Online Grants Management System**

To apply online for OJP funding, you must establish a **User ID** and **password** with the Grants Management System (GMS), and you must receive e-mail confirmation that you are eligible to apply for funding. Your eligibility must be confirmed even if you applied for and received funding under this program previously.

To begin the process:

1. Visit the OJP web site and download the online GMS Applicant Procedures Manual at:

[www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

Please note that the manual has been updated since you last used GMS.

2. Select “Logon to the Grants Management System (GMS)”.
3. Click on: “New User? Register Here”.
4. Follow the onscreen instructions to register with the GMS system. You will receive e-mail confirmation that you are eligible to apply for funding.
5. Please note that the names of the attachments to be included with your online GMS submission have been changed. The revised names are: Budget Detail Worksheet (which includes your budget narrative), Program Narrative, and Other Program Attachments. Please call the GMS Help Desk if you have any questions about the attachments

If you have any questions about GMS or need assistance, contact the **GMS Help Desk** at **(888) 549-9901**.

# Application Requirements Checklist

## Have You Completed?

*(Please use this checklist to ensure your online submission is complete.)*

- G** Application for Federal Assistance, SF-424. Applicants will complete the SF-424 online. The applicant agency's authorized certifying official will certify compliance with, or acceptance of, required certifications and assurances, and should be familiar with the special conditions that will be attached to the award. The text of all certifications, assurances, and special conditions is included in Appendix B of this document. It is no longer necessary to sign and return the forms.
- G** A brief description (5-10 pages) of proposed program activities for FY 2001 and changes since the previous application. The program narrative should be prepared as a word processing file. It will be attached to the SF-424 and submitted online. The Grants Management System (GMS) will accept most word processing formats.

The program narrative should include:

- G** The goals of the program, the implementation process, the timetable for implementation and information on priorities and/or projects to be funded, including a description of how the preference for programs with **aftercare** services will be implemented.
- G** A description of any changes in the state's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs, including those released who remain in the custody of the state.
- G** The number (or estimate) of individuals who were tested during the last federal fiscal year.
- G** How the state will coordinate substance abuse treatment activities at the state and local levels.
- G** Information on related federal funding and activities.
- G** Amount and brief justification for administrative costs, if requesting that a portion of the funds be allocated for administration of the program.

## Deadline:

**April 1, 2001**

## Online Submission:

Only applications submitted online through the GMS system will be accepted. The GMS system may be accessed through the OJP web site at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

## Questions:

For questions about the program or application content:

**OJP Technical Assistance Line**  
**(800) 848-6325**

For questions about the GMS system:

**GMS Hotline**  
**(888) 549-9901**

# Introduction

*“Drug users are involved in approximately three to five times the number of crimes as arrestees who do not use drugs. Approximately three-fourths of prison inmates and over half of those in jails or on probation are substance abusers, yet only 10 to 20 percent of prison inmates participate in treatment while incarcerated. Simply punishing drug-dependent criminals is not enough. If crime is to be reduced permanently, addiction must be treated. Treatment while in prison and under post-incarceration supervision can reduce recidivism by roughly 50 percent.”<sup>1</sup>*

The nation’s prison population grew 3.1 percent in FY 1999. Over 1.2 million offenders were under state adult correctional jurisdiction as of June 30, 1999, and an additional 605,943 offenders were held in local jails. Between 1990 and 1999, the state prison population grew an average of 6.1 percent annually, while local jail populations grew 4.8 percent annually. Violent offenders and drug offenders account for almost 70 percent of prison population growth in the last decade.<sup>2</sup>

Illegal drug use continues to be a major factor in crime and violence in America. A study by the National Center on Addiction and Substance Abuse at Columbia University (CASA) showed that 1.4 million offenders—or 80 percent of the 1.7 million incarcerated adults—were either high on drugs or alcohol when arrested, stole property to buy drugs, or have a history of drug and alcohol abuse. The study also suggested that residential treatment along with appropriate aftercare can reduce relapse and recidivism.<sup>3</sup>

Approximately 70-80 percent of all state prison inmates are in need of substance abuse treatment

according to a Corrections Program Office sponsored survey of state departments of corrections conducted in the fall of 1997. On average about 12.7 percent of the inmates in reporting states are receiving treatment on any given day, and only 15.3 percent complete a prescribed substance abuse treatment program prior to release from confinement. The respondents also estimate that just over one-third of those in need of treatment in the community following release will receive it.

Proven treatment along with education, job training, and health care can significantly impact the economy and crime reduction. According to the CASA study, the cost of such rehabilitation would average about \$6,500 per year. Each inmate who successfully completes such treatment and becomes a law-abiding, tax-paying citizen would generate a ten-fold return on that investment in the first year. Comparatively, an estimated reduction of one million crimes per year could be realized for every 10,000 drug-addicted inmates who stay off drugs and crime after release.<sup>4</sup> Drug treatment for offenders while in custody is a logical, convenient, and cost-effective point of intervention in the fight to reduce crime and recidivism.<sup>5</sup>

The Violent Crime Control and Law Enforcement Act of 1994, Pub. L. 103-322, provides funds to the states, through the Residential Substance Abuse Treatment for State Prisoners (RSAT) Program, to develop or enhance substance abuse treatment programs for offenders. It authorizes the Attorney General to award formula grants for substance abuse treatment programs in state and local correctional facilities. The FY 2001 appropriation for the program is \$61.4 million. In implementing the program, states are encouraged to adopt comprehensive approaches to substance abuse testing and treatment for offenders, including relapse prevention and aftercare services.

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<sup>1</sup>*The National Drug Control Strategy, 1998.* The White House, February 1998.

<sup>2</sup>*Prisoners at Midyear, 1999* (Bulletin). Bureau of Justice Statistics, April 2000.

<sup>3</sup>*Behind Bars: Substance Abuse and America’s Prison Population.* National Center on Addiction and Substance Abuse at Columbia University, January 1998.

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<sup>4</sup>*Behind Bars: Substance Abuse and America’s Prison Population.* National Center on Addiction and Substance Abuse at Columbia University, January 1998.

<sup>5</sup>*Effectiveness of Treatment for Drug Abusers Under Criminal Justice Supervision,* Douglas S. Lipton, Ph.D., National Institute of Justice, 1995.

## Program Purpose

The Residential Substance Abuse Treatment Formula Grant Program assists states and units of local government in developing and implementing residential substance abuse treatment programs within state and local correctional and detention facilities in which prisoners are incarcerated for a period of time sufficient to permit substance abuse treatment.

The Residential Substance Abuse Treatment Program is administered by the Corrections Program Office (CPO) in the Office of Justice Programs (OJP), U.S. Department of Justice (DOJ).

## Eligibility

States may apply for a formula grant award under this program. "State" means any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands. The award will be made to the state office that is designated under Section 507 of the Omnibus Crime Control and Safe Streets Act, codified at 42 U.S.C. §3757, to administer the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program. The state office may award subgrants to state agencies and units of local government.

## State Allocations

Grant funds are allocated to the states using the following formula:

- # Each participating state is allocated a base amount of 0.4 percent of the total funds available for the program.
- # The remaining funds are allocated to each participating state in the ratio its prison population bears to the total prison population

of all participating states. The most recent National Prisoner Statistics collected by the Bureau of Justice Statistics are used to make these allocations.

State allocations for FY 2001 awards are listed in Appendix A.

## Program Design and Implementation

### Program Requirements

The Residential Substance Abuse Treatment formula grant funds may be used to implement residential substance abuse programs that provide individual and group treatment activities for offenders in residential facilities operated by state and local correctional agencies. These programs must:

- # Last between 6 and 12 months. Each offender must participate in the program for not less than 6 or more than 12 months, unless he or she drops out or is terminated.
- # Be provided in residential treatment facilities set apart from the general correctional population. Set apart means a totally separate facility or a dedicated housing unit within a facility exclusively for use by program participants.
- # Focus on the substance abuse problems of the inmate.
- # Develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems.
- # Implement or continue to require urinalysis and/or other proven reliable forms of drug and alcohol testing.

States are encouraged to develop a comprehensive substance abuse treatment strategy for providing services in correctional institutions and community-based programs. Past experience with grant-supported treatment programs has shown that programs implemented in a single institution are

less likely to obtain continued management and financial support than programs implemented as part of a comprehensive treatment strategy.

Preferably, participation in the residential program should be limited to inmates who have 6 to 12 months left in their term of confinement so that they can be released from prison after completing the treatment program, rather than being returned to the general prison population.

## **Drug Testing**

Applicant states must agree to implement or continue to require urinalysis and/or other proven reliable forms of drug and alcohol testing of individuals assigned to residential substance abuse treatment programs in correctional facilities. Such testing must include individuals released from residential substance abuse treatment programs who remain in the custody of the state. States are also encouraged to implement drug testing and treatment programs for offenders throughout their criminal justice systems. As part of its application for funds, the state must describe its current drug testing programs, the number of offenders tested, and plans to expand or continue these programs. Grant funds may be used to pay the costs of testing offenders while in a grant-supported program.

## **Aftercare**

States are required to give preference to subgrant applicants who will provide aftercare services to program participants. Aftercare services should involve coordination between the correctional treatment program and other human service and rehabilitation programs, such as education and job training, parole supervision, halfway houses, and self-help and peer group programs that may aid in rehabilitation. However, under the governing statute, grant funds may **not** be used for non-residential treatment provided during the aftercare component of the program.

## **Coordination**

Corrections treatment programs and state and/or local substance abuse treatment programs are

required to work together to place program participants in appropriate community substance abuse treatment when these individuals leave the correctional facility at the end of their sentence or time on parole. Both agencies should work together in developing an individualized plan for community substance abuse treatment for each offender. This plan should begin when an offender enters the residential treatment program. States are encouraged to develop written agreements and procedures to facilitate this cooperation.

In designing and implementing the Residential Substance Abuse Treatment Formula Grant Program, states are required to ensure coordination between correctional representatives and alcohol and drug abuse agencies at the state and, if appropriate, local levels. This should include coordination between the activities initiated under the Residential Substance Abuse Treatment Program and the Substance Abuse Prevention and Treatment Block Grant Program administered by the Department of Health and Human Services' Substance Abuse and Mental Health Services Administration. States should also coordinate substance abuse and mental health services for dually diagnosed offenders. The application must include a description of how the state plans to coordinate substance abuse treatment activities, including drug testing and aftercare, within the state.

## **Matching Funds**

The federal share of a grant funded project may not exceed 75 percent of the total costs of the project. The 25 percent matching funds must be in the form of a cash match.

## **Annual Evaluation Report Requirement**

Each participating state is required by statute to submit an evaluation report not later than March 1 of each year. The report should describe the activities carried out with formula grant funds during the previous federal fiscal year, the criteria used to assign offenders to the program(s), the impact of such activities in meeting the goals of the program, and the results of any program or project



evaluations. The March 1, 2001, report should describe activities from October 1, 1999, through September 30, 2000.

The state must submit a completed Annual Project-Level Evaluation Report for each grant-funded project and an Annual Program-Level Evaluation Summary for the formula grant. These forms are found in Appendix C.

These forms cannot be completed and submitted online. They must be downloaded and faxed or mailed to the grant manager in the Corrections Program Office.

Grant funds may be used to track program and offender outcomes required for the Annual Evaluation Report. States interested in broader evaluation studies should apply for funding through the National Institute of Justice and should not use grant funds for such studies.

In addition, the National Institute of Justice (NIJ) is conducting a national evaluation of the Residential Substance Abuse Treatment Program. All applicants must agree to participate in national evaluation activities.

## Technical Assistance and Training

Technical assistance and training on effective substance abuse treatment strategies and programs are available from OJP/CPO to assist states with program implementation. Assistance will be provided during FY 2001 through on-site consultation to address specific needs. Additional information on these and other events is available in the annual OJP/CPO Technical Assistance Plan, which may be found on the OJP/CPO home-page at <http://www.ojp.usdoj.gov/cpo>.

### Training Programs

The following training programs are available to assist state correctional agencies with the development and implementation of RSAT projects:

- # Therapeutic Community Counselor Training
- # Cross-Discipline Team Building Training
- # Cognitive Restructuring Training
- # Relapse Prevention Training
- # Case Management Training
- # Training on Treating Offenders with Co-Occurring Disorders

These programs are provided on-site. The Corrections Program Office furnishes the trainer and materials, and, typically, the requesting jurisdiction brings participants together and provides the training space.

### On-Site Technical Assistance

OJP/CPO provides a broad range of technical assistance related to the eligibility, implementation, and administration of the Residential Substance Abuse Treatment Program.

In FY 2000, OJP/CPO provided on-site assistance such as assessment of the effectiveness of therapeutic community programs in the Kansas Department of Corrections, assistance with design and implementation of a new program within the Minnesota Department of Corrections, and a review of the Ohio Department of Rehabilitation and Corrections' overall substance abuse service delivery system.

Assistance can be obtained by contacting the OJP/CPO grant manager assigned to your state by calling the Corrections Technical Assistance Line at (800) 848-6325.

## Application Requirements

Beginning January 1, 2000, all applicants for funds administered by OJP program offices, including the Corrections Program Office, were required to use the automated Grants Management System (GMS) to receive applications. GMS is accessed through the OJP home page at

<http://www.ojp.usdoj.gov/fundopps>. This requirement remains in effect for FY 2001.

The application for the Residential Substance Abuse Treatment formula grant funds must contain the following information:

**# Application Forms, Assurances, Special Conditions and Certifications**

The Application for Federal Assistance (SF-424) is completed and submitted online. All required certifications, special conditions and assurances are accepted as part of the online application and award process. Copies of the forms, certifications, special conditions and assurances and instructions for the SF-424 are found in Appendix B. **It is not necessary to sign and return the forms.**

Required assurances, special conditions and certifications include:

- ! Residential Substance Abuse Treatment for State Prisoners Special Conditions
- ! General Assurances
- ! Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug Free Workplace Requirements. (See explanation in the Administrative Provisions section of this document)

The authorized certifying official of the applicant agency must accept these requirements as part of the online application process. The assurances and special conditions should be read in full prior to completing this process.

**# A program narrative describing proposed program activities for FY 2001 and changes since the previous application.**

The program narrative should include the following:

- ! The goals of the program, the implementation process, timetable for implementation and information on priorities and/or projects to be funded, including a

description of how the preference for programs with aftercare services will be implemented.

- ! A description of any changes in the state's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs, including those released who remain in the custody of the state.
- ! The number (or estimate) of offenders who were tested during the last calendar year.
- ! How the state will coordinate substance abuse treatment activities at the state and local levels.

**# Related federal funding and activities**

Provide information in your application on (a) active federal grant awards (from the Department of Justice or otherwise) already supporting this or related efforts; (b) information on any pending application(s) for federal money for this or related efforts; and (c) how these would be coordinated with the funding sought by this application. For each, include the program/project title; the federal grantor agency; the federal award amount; and a very brief description of its purpose. This information is requested to encourage better coordination among federal agencies in addressing state and local needs.

“Related efforts” is defined for these purposes as for:

- ! The same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other federal grants).
- ! Another phase or component of the same program/project (e.g., to implement a planning effort funded by other federal monies or to provide a substance abuse treatment or education component within a criminal justice project).
- ! Providing services of some kind (e.g., technical assistance, research, evaluation) to the program/project described in your application.

## # Application Due Date

FY 2001 applications must be submitted using GMS no later than **April 1, 2001**.

# Administrative Provisions

## State Office Responsibilities

In administering the Residential Substance Abuse Treatment for State Prisoners Program, the state office is responsible for:

- # Ensuring coordination between this program and state and local substance abuse treatment programs.
- # Preparing the application for formula grant funds.
- # Administering grant funds which includes: establishing funding priorities; receiving, accounting for, and disbursing funds; reviewing, awarding, monitoring, and evaluating subawards; preparing progress, financial, and evaluation reports; complying with audit requirements, and providing guidance and technical assistance to subgrantees.

The state may use a portion of the formula grant funds to administer the program. Since the purpose of the funds is to increase the availability of treatment services, the amount of funds used for administrative purposes should be modest and must be justified. Federal grant funds used for administration must meet all requisite match requirements.

## Assurances and Special Conditions

The application forms found in Appendix B include assurances and special conditions with which the applicant agrees to comply. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

The assurances are accepted online by the applicant agency's authorized certifying official. The special conditions will be attached to the award.

## Single Point of Contact Review

Executive Order 12372 requires applicants from state and local units of government or other organizations providing services within a state to submit a copy of the application to the state Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the state. Applicants must contact their state SPOC to determine if the program has been selected for state review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in block 17 on the Application for Federal Assistance, SF-424.

## Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

The authorized certifying official of the applicant agency is required to accept online the Certification Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; and Drug Free Workplace Requirements. The applicant agrees to comply with the following requirements:

**Lobbying:** The applicant and its subgrantees, contractors, and subcontractors will not use federal funds for lobbying and will disclose any lobbying activities.

**Debarment:** The applicant and its principals have not been debarred or suspended from federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

**Drug-Free Workplace:** The applicant will or will continue to provide a drug-free workplace.

Online acceptance of these items commits the applicant to compliance with the certification requirements under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

## Electronic Signature

The process of completing the online SF-424 includes acceptance of standard assurances. On the last screen of the online form, the following language appears:

Your typed name, in lieu of your signature, represents your legal binding acceptance of the terms of this application and your statement of the veracity of the representations made in this application. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached Assurances (OJP Form 4003/3), Certification Regarding Lobbying: Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (OJP Form 4061/6), and the Residential Substance Abuse Treatment for State Prisoners Statutory Assurances.

By clicking the “Yes” button on this screen, the authorized certifying official commits the agency to compliance with the named assurances. The assurances are contained in Appendix B of this document and should be read in full before completing the online application. A help screen is also available to refer the applicant to the text of the assurances.

Electronic submission of the application is equivalent to returning a signed SF-424 and assurances to the Office of Justice Programs. The application cannot be modified online after submission.

## Civil Rights Compliance

All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. In the event that a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights of the Office of Justice Programs. All applicants should consult the Assurances required with the application funds to understand the applicable legal and administrative requirements.

## National Environmental Policy Act (NEPA)

All proposals for legislation and other major federal actions significantly affecting the quality of the human environment are subject to the provisions of NEPA and related federal environmental laws. The *Regulations for Implementing the Procedural Provisions of the National Environmental Policy Act*, issued by the Council on Environmental Quality define the category of federal actions that apply to federal grant programs and trigger NEPA implementation.

NEPA requires the preparation of an environmental assessment (EA) in order to determine if the project will significantly impact the environment, and/or a more detailed environmental impact statement (EIS) if significant impact is expected to result from the federal action.

Most RSAT projects will not be affected by NEPA. If, however, a project involves minor renovation, construction, or any other activity that may adversely impact the environment, or a change in the use or function of a facility, the grantee should provide a full description of the proposed project to the Corrections Program Office grant manager prior to implementation. A determination will be made at that time as to whether any further action is necessary.

## Supplanting Prohibition

Federal funds must be used to supplement existing funds for program activities and may not replace (supplant) non-federal funds which have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

## Restriction on Use of Funds

Grant funds shall not be used for land acquisition or construction projects.

## Purchase of American-Made Equipment and Products

It is the sense of the Congress, as conveyed through the FY 1997 Appropriations Act, that to the greatest extent practicable, all equipment and products purchased with grant funds should be American-made.

## Award Period

Awards will be made for the fiscal year of the appropriation, plus two additional years.

## Reporting Requirements

The following reporting requirements have been established to assist OJP/CPO in monitoring program implementation:

- # **Financial Status Report:** Financial status reports (SF 269-A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. Copies of this form are included in the initial award package. Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.

- # **Single Audit Report:** Recipients who expend \$300,000 or more of federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit report is currently due to the cognizant federal agency or oversight agency not later than 9 months after the end of the recipients' fiscal year. Audit reports for any fiscal years that began prior to July 1, 1998, are due 13 months after the end of the recipient's fiscal year.

- # **Semi-Annual Progress Report:** The state administrative agency is responsible for providing semi-annual reports on the implementation of the formula grant award and programmatic activities. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award.

- # **Individual Project Report:** This one-page report provides information on subgrants/projects. Following the award of a subgrant, the state administrative office should submit a separate Individual Project Report for each *project* implemented under that subgrant. An annual Individual Project Report should also be submitted for administrative funds. *This form cannot be completed and submitted online. It must be down-loaded and faxed or mailed to the grant manager in the Corrections Program Office.*

- # **Annual Report -** As described on pages 3-4. *These forms cannot be completed and submitted online. They must be downloaded and faxed or mailed to the grant manager.*

- # **Subgrantee Reports -** States are responsible for monitoring and fiscal oversight of subgrant projects and shall establish regular progress and financial reporting requirements for subgrantees. These reports should be retained by the state office and made available for review by OJP/CPO or its authorized representatives during monitoring visits, inspections, or audits.

## Suspension or Termination of Funding

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for any of the following reasons:

- # Failure to comply substantially with the requirements or statutory objectives of 42 U.S.C. §3799ff—Residential Substance Abuse Treatment for State Prisoners Program guidelines issued there under, or other provisions of federal law.
- # Failure to make satisfactory progress toward the goals or strategies set forth in this application.
- # Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.
- # Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- # Filing a false certification in this application or other report or document.
- # Failure to comply substantially with any other applicable federal statute, regulation, or guideline.

Before imposing sanctions, the OJP will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations described in 28 CFR, part 18.

## **Appendix A**

# **FY 2001 State Formula Grant Allocations**



# FY 2001 State Formula Grant Allocations

<u>State</u>	<u>Allocation</u>	<u>State</u>	<u>Allocation</u>
Alabama	\$1,169,458	New Jersey	\$1,362,318
Alaska	\$308,584	New Mexico	\$424,122
Arizona	\$1,187,876	New York	\$2,838,814
Arkansas	\$652,406	North Carolina	\$1,363,284
California	\$6,211,950	North Dakota	\$268,788
Colorado	\$825,344	Ohio	\$1,935,027
Connecticut	\$715,090	Oklahoma	\$1,068,587
Delaware	\$374,713	Oregon	\$607,083
District of Columbia	\$470,138	Pennsylvania	\$1,563,411
Florida	\$2,821,397	Rhode Island	\$303,355
Georgia	\$1,817,918	South Carolina	\$1,037,673
Hawaii	\$355,653	South Dakota	\$325,759
Idaho	\$430,805	Tennessee	\$1,051,974
Illinois	\$1,861,520	Texas	\$6,173,359
Indiana	\$954,738	Utah	\$430,274
Iowa	\$510,193	Vermont	\$279,757
Kansas	\$551,436	Virginia	\$1,318,864
Kentucky	\$793,674	Washington	\$766,808
Louisiana	\$1,494,777	West Virginia	\$370,430
Maine	\$294,651	Wisconsin	\$988,119
Maryland	\$1,093,907	Wyoming	\$294,891
Massachusetts	\$637,725	<b><u>Territory</u></b>	
Michigan	\$1,952,235	American Samoa	\$235,722
Minnesota	\$458,309	Guam	\$242,771
Mississippi	\$900,348	Northern Mariana Islands	\$233,834
Missouri	\$1,224,138	Puerto Rico	\$666,228
Montana	\$342,743	Virgin Islands	\$240,499
Nebraska	\$365,465		
Nevada	\$592,856		
New Hampshire	\$314,244		

## Notes:

1. The allocations are based on a formula that provides each state and territory with a base amount, plus an allocation in proportion to the ratio that its prison population bears to the total prison population of all states and territories. The prison population includes all inmates under the jurisdiction of the state or territory for whom the state or territory has legal authority and responsibility. The counts include inmates who may be housed in other states, county/city jails, or other adult correctional facilities.
2. State prisoner counts are as of June 30, 2000, as reported to the Bureau of Justice Statistics in the National Prisoner Statistics Program (NPS-1A)
3. For states with an integrated prison and jail system, prisoner counts include only those inmates with sentences greater than 1 year.
4. Prisoner counts for the territories are as of December 31, 1999, as reported to the Bureau of Justice Statistics. Counts include only those inmates with sentences greater than 1 year.

## **Appendix B**

### **Application Materials, Certifications, Special Conditions and Assurances**

# APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

		2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, state and zip code):		Name and telephone number of the person to be contacted on matters involving the application (give area code)	
6. EMPLOYER IDENTIFICATION (EIN) <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;">           A. State            B. County            C. Municipal            D. Township            E. Interstate            F. Intermunicipal            G. Special District         </div> <div style="width: 48%;">           H. Independent School Dist.            I. State Controlled Institution of Higher Learning            J. Private Industry            K. Indian Tribe            L. Individual            M. Profit Organization            N. Other (specify): _____         </div> </div>	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____		9. NAME OF FEDERAL AGENCY:	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> TITLE:		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT:	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):			
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES, THIS PREAPPLICATION/APPLICATIN WAS MADE A VAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:  DATE _____  b. NO, <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372  <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a. Federal	\$ .00		
b. Applicant	\$ .00		
c. State	\$ .00		
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00		
g. TOTAL	\$ .00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative		b. Title	c. Telephone number
d. Signature of Authorized Representative			e. Date Signed

## Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies for applications for federal assistance. This form contains 18 different items, all of which are to be completed before your application is reviewed. The Office of Justice Programs (OJP) cannot accept the application without a completed and signed SF 424. **Applicants are required to use the online version of this form found in the Grants Management System (GMS) unless prior approval is granted to submit a paper application.**

- Item 1 Type of Submission:** Indicate if this is an application for a construction or non-construction program.
- Item 2 Date Submitted:** Indicate the date you sent the application to OJP. The "Application Identifier" is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
- Item 3 Date Received by State:** Leave blank. This block is completed by the state single point of contact, if applicable.
- Item 4 Date Received by Federal Agency:** This item will be completed by OJP.
- Item 5 Applicant Information:** The "Legal Name" is the unit of government or the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. One person should be designated as the Contact for the proposed project, and that person's telephone number should also be included. It is not unusual for the name of the contact person to differ from the authorized representative of your agency provided in Item 18.
- Item 6 Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency's accountant or comptroller.
- Item 7 Type of Applicant:** Enter the appropriate letter in this space. If the applicant is representing states organized as a regional compact, specify by checking Block N and entering "regional compact" and identify the participating states.
- Item 8 Type of Application:** Check either "new" or "continuation". Check new if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check "continuation", if the project will continue activities, including minor modifications, or implement the next phase of a project, that was begun under a prior award number.
- Item 9 Name of Federal Agency:** The awarding federal agency for this program is the Office of Justice Programs.
- Item 10 Catalog of Federal Domestic Assistance Number:** Enter the five digit number from the Catalog of Federal Domestic Assistance which corresponds to the federal program which is the source of funding for this project (16.593 for the RSAT Program).
- Item 11 Descriptive Title of Applicants Project:** In this space, please enter: (1) a descriptive title of the project to be implemented; (2) the name of the cognizant federal agency, (this is generally the federal agency from which the applicant agency receives the largest proportion of its federal funds); and (3) applicant's fiscal year, i.e. twelve month audit period, (e.g., October 1 to September 30).
- Item 12 Areas Affected by Program:** Identify the geographic area(s) encompassed by the project. Indicate "Statewide" or "National", if applicable.
- Item 13 Proposed Project Dates:** Fill in the proposed beginning and end dates of the project.
- Item 14 Congressional Districts:** Fill in the number of the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "Statewide", if applicable.
- Item 15 Estimated Funding:** In line "a," type in the amount of federal funds requested. Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate.
- Item 16 State Executive Order 12372:** Some states (although, not all), require you to submit your application to a state "Single Point of Contact" (SPOC) to coordinate applications for federal funds within the state. If your state requires a copy of your application, indicate the date this application was submitted. If a copy is not required, indicate the reason. The SPOC is not responsible for forwarding your application to the federal funding agency.
- Item 17 Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.
- Item 18 Authorized Representative:** Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in blue ink and/or stamped as "original" to help us distinguish the original from the photocopies.

(Revised 4/96)

## **RESIDENTIAL SUBSTANCE ABUSE TREATMENT FOR STATE PRISONERS**

### **SPECIAL CONDITIONS**

1. The State/Territory (State) will coordinate the design and implementation of treatment programs between State correctional representatives and the State alcohol and drug abuse agency (and, if appropriate, between representatives of local correctional agencies and representatives of either the State alcohol and drug abuse agency or any appropriate local alcohol and drug abuse agency).
2. The State/Territory (State) will implement or continue to require urinalysis or other proven reliable forms of testing of individuals in correctional residential substance abuse treatment programs. Such testing shall include individuals released from residential substance abuse treatment programs who remain in the custody of the State.
3. Funds received under this section will be used to supplement, not supplant, other federal, state/territory, and local funds.

## General Assurances

The applicant hereby assures and certifies compliance with all federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-133, A-87; E.O. 12372; and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of federal funds for this federally assisted project. Also the applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of federal and federally-assisted programs.
3. It will comply with provisions of federal law which limit certain political activities of employees of a state or local unit of government whose principal employment is in connection with an activity financed in whole or in part by federal grants. (5 U.S.C. 1501, *et seq.*)
4. It will comply with the minimum wage and maximum hours provisions of the federal Fair Labor Standards Act.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease, or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Prevention Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(1) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any federal financial assistance for construction or acquisition purposes for any use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect federal assistance.
10. It will assist the federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 U.S.C. 569a-1 *et seq.*) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the federal grantor agency of the existence of any such properties by (b) complying with all requirements established by the federal grantor agency to avoid or mitigate adverse effects upon such properties.

11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants (M7100.1); and all other applicable federal laws, orders, circulars, or regulations.
12. It will comply with applicable provisions of 28 CFR related to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and federal laws or regulations applicable to federal assistance programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Subtitle A, Title of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. 1968, as amended, 42 U.S.C. 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Subtitle A, Title of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
15. In the event a federal or state court or federal or state administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
16. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
17. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 U.S.C. 3501 *et seq.*) Which prohibits the expenditure of most new federal funds within the units of the Coastal Barrier Resources System.







U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUGFREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510, -

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local)

transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUGFREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 —

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about —

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counselling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—



(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

## DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620 ---

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

## DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post award	<b>3. Report type:</b> <input type="checkbox"/> a. Initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ Quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, <i>if known</i>   Congressional District, <i>if known</i> :		<b>5. If Reporting Entity In No. 4 Is Subawardee, Enter Name and Address of Prime:</b>     Congressional District, <i>if known</i> :
<b>6. Federal Department/Agency:</b>    	<b>7. Federal Program Name/Description:</b>   CDFA Number, <i>if applicable</i> : _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$	
<b>10. a. Name and Address of Lobbying Entity</b> <i>(if individual, last name, first name, MI)</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI)</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of the fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only:</b>		<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL</b>

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient, at the initiation or receipt of a covered federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identifying the type of covered federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered federal action.
2. Identify the status of the covered federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "subawardee", then enter the full name, address, city, state and zip code of the prime federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant or loan award number; the application/proposal control number assigned by the federal agency). Include prefixes, e.g., "RFP-DE-90-001".
9. For a covered federal action where there has been an award or loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI)>
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0046) Washington, D.C. 20503.

**Appendix C**

**Program Reporting Forms**

# Individual Project Report



## Residential Substance Abuse Treatment (RSAT) Program

The state office is required to submit this report to the Corrections Program Office immediately following a subaward of Residential Substance Abuse Treatment formula grant funds. **If a subaward will be used for more than one project, a separate IPR Report should be completed for each project.** Please submit this information to the Corrections Program Office, 810 7th Street, NW, Washington, D.C. 20531. The purpose of this report is to collect information on funded projects for use to monitor program implementation.

1. Federal Grant Number: \_\_\_\_\_ 2. State: \_\_\_\_\_

3. Subgrant Project Title: \_\_\_\_\_

4. Subgrant Project Number: \_\_\_\_\_

5. Subgrantee Address: \_\_\_\_\_ Agency Name: \_\_\_\_\_

Street Address: \_\_\_\_\_ City/State/Zip Code: \_\_\_\_\_

6. Subgrant Contact: \_\_\_\_\_ Name: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

6. Project Location (City, County, Zip Code): \_\_\_\_\_

7. Congressional District(s) Served (If statewide, enter "99") \_\_\_\_\_

8. Level of Government

\_\_\_ State

\_\_\_ County

\_\_\_ City/Town

\_\_\_ Indian Tribe

\_\_\_ Multi-State Compact

9. Project Grant Budget

Federal: \$ \_\_\_\_\_

Enhancement

Match: \$ \_\_\_\_\_

10. Program Type

\_\_\_ New Program

11. Project Start Date: \_\_\_\_\_

Project End Date: \_\_\_\_\_

12. Program Capacity (Number of treatment slots by category):

Adult Males: \_\_\_\_\_ Adult Females: \_\_\_\_\_ Juvenile Males: \_\_\_\_\_ Juvenile Females: \_\_\_\_\_

13. Program Facility (Check all that apply)

\_\_\_ Prison

\_\_\_ Jail

\_\_\_ Boot Camp

\_\_\_ Community Corrections Program

\_\_\_ Work Camp

\_\_\_ Juvenile Detention Facility

\_\_\_ Juvenile Correctional Facility

\_\_\_ Halfway House

\_\_\_ Other (Specify) \_\_\_\_\_

14. Services/Interventions Available (Check all that apply)

\_\_\_ Therapeutic Community

\_\_\_ Group Counseling

\_\_\_ Individual Counseling

\_\_\_ Pharmacotherapy

\_\_\_ Other Drug Treatment

\_\_\_ 12-Step Program

\_\_\_ Drug Testing

\_\_\_ Mental Health Counseling

\_\_\_ Educational Programs

\_\_\_ Community Service

\_\_\_ Victim Restitution

\_\_\_ Restorative/Community

Justice

\_\_\_ Victim Awareness

\_\_\_ Mediation

\_\_\_ Domestic Violence Reduction

\_\_\_ Family Counseling

\_\_\_ Sex Offender Treatment

\_\_\_ Impulse/Anger Control

\_\_\_ Work Activities

\_\_\_ Job Skills Development

\_\_\_ Job Placement

\_\_\_ Aftercare Services

\_\_\_ Structured Leisure Time

\_\_\_ Leadership Training

\_\_\_ Mentoring

# Annual Project-Level Evaluation Report



## Residential Substance Abuse Treatment (RSAT) Program

*The following form should be completed by each RSAT funded project*

Federal Grant Number: \_\_\_\_\_ Project Start Date: \_\_\_\_\_

Project Title: \_\_\_\_\_

—

Implementing Agency: \_\_\_\_\_

—

Contact Person and Phone Number: \_\_\_\_\_

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- ☐ Parenting Training
- ☐ Cognitive Restructuring
- ☐ Financial Management
- ☐ Other (Specify) \_\_\_\_\_

Requested Information( <i>Please provide one evaluation form for each grant funded project</i> )	FY 2000 (10/01/99 - 09/30/00)	Since Start of Project
1. Treatment beds added or supported with RSAT grant funds ( <b>federal &amp; match</b> ).		
2. Treatment beds enhanced with RSAT grant funds ( <b>for previously established programs, beds enhanced by new services</b> ).		
3. Total number of male offenders admitted to the grant-funded treatment program.		
4. Total number of female offenders admitted to the grant-funded treatment program.		
5. Total number of adult offenders admitted to the grant-funded treatment program.		
6. Total number of juvenile offenders admitted to the grant-funded treatment program.		
7. Total number of offenders successfully completing the residential program.		
8. Average length of stay in the residential program, for those completing the program ( <b>in days</b> ).		
9. Total number of offenders that dropped out of the program.		
10. Total number of offenders that were terminated from the program.		
11. Total number of offenders that successfully completed the aftercare program.		
12. Of the offenders that completed the program, the percentage that have remained drug-free during the residential program		
13. Of the offenders that completed the program, the percentage that have remained drug-free during the aftercare program.		
14. Of the offenders that completed the program, the percentage that have remained arrest-free during the residential program.		
15. Of the offenders that completed the program, the percentage that have remained arrest-free during the aftercare program.		



16. Of the offenders that completed the program, the percentage that have remained arrest-free following release from aftercare <b>(at least one year follow-up)</b> .		
<b>The following questions are for those programs in existence for two years or more:</b>		
17. Average cost of the program per offender that completed the residential program.		
18. Average cost of the program per offender that completed the aftercare program <b>(cost of aftercare program only)</b> .		

# Instructions for Completing the Annual Project-Level Evaluation Report

Item	Instructions
1	<b>Treatment Beds Added:</b> This is for projects or expansions to existing projects that are new this year. Include only those beds that were paid for with RSAT grant funds or the required match.
2	<b>Treatment Beds Enhanced:</b> These are beds that previously existed but new services or treatments were added due to the use of RSAT grant funds.
3	<b>Total Number of Male Offenders:</b> This is the actual (not capacity) count of male offenders whose placement in a treatment program is paid for with RSAT grant funds.
4	<b>Total Number of Female Offenders:</b> This is the actual (not capacity) count of female offenders whose placement in a treatment program is paid for with RSAT grant funds.
5	<b>Total Number of Adult Offenders:</b> This is the actual (not capacity) count of adult offenders whose placement in a treatment program is paid for with RSAT grant funds.
6	<b>Total Number of Juvenile Offenders:</b> This is the actual (not capacity) count of juvenile offenders whose placement in a treatment program is paid for with RSAT grant funds.
7	<b>Total Number of Successful Offenders:</b> For programs operating at least six months, the number of offenders who successfully completed the RSAT-funded treatment program.
8	<b>Average Length of Stay:</b> For those successfully completing the program, provide in days the average length of stay. Do not include assessment, transition, or aftercare phases.
9	<b>Number of Drop Outs:</b> Provide number of offenders who dropped out on their own initiative. If the rate is 25 percent or higher, please provide details on a separate sheet of paper.
10	<b>Number Terminated:</b> Provide number of offenders who were terminated from the program. If the rate is 25 percent or higher, please provide details on a separate sheet of paper.
11	<b>Successful Aftercare:</b> If the program has an aftercare component, please provide the number of offenders that have successfully completed the aftercare phase.
12	<b>Drug-Free Residential:</b> For those offenders whose treatment is financed by RSAT funds, the percentage that have remained drug-free during the residential program.
13	<b>Drug-Free Aftercare:</b> If the program has an aftercare component, the percentage that have remained drug-free during the aftercare phase.
14	<b>Arrest-Free Residential:</b> For those offenders whose treatment is financed by RSAT funds, the percentage that have remained arrest-free during the residential program.
15	<b>Arrest-Free Aftercare:</b> If the program has an aftercare component, the percent who have remained arrest-free during the aftercare phase.
16	<b>Arrest-Free Following Release:</b> Of those successfully completing the RSAT-funded program, the percentage that have remained arrest-free at least one year following release from the residential or aftercare programs.
17	<b>Average Cost Residential:</b> For those programs in existence at least two years, the average cost of the RSAT-funded program per offender.
18	<b>Average Cost Aftercare:</b> For those programs in existence at least two years and that have an aftercare component, the average cost of the aftercare phase per offender.

1. Please describe the activities carried out with RSAT grant funds during the fiscal year? (e.g., treatment programs developed or expanded and program enhancements such as treatment counselors or drug testing added to existing programs)
2. Describe aftercare services that are provided to offenders who complete the residential treatment provided by RSAT-funded projects and explain how priority is given to projects that provide after care.
3. What criteria are used to assign offenders to grant-funded projects?
4. What are the results of any program or project evaluations you have conducted? Please attach copies of reports.
5. What technical assistance is needed to assist you with program implementation and to improve the effectiveness of the projects you fund?

**U. S. Department of Justice**  
Office of Justice Programs

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*Washington, D.C. 20531*

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